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To: United States Patent & Trademark Office **From:** Grady L. White, Esq.

Fax: 571-273-8300

Pages:

Phone:

Date: 8/23/2007

Re: Application No. 10/066,780 conf. No. 4540 **CC:**

☐ **Urgent** ☐ **For Review** ☐ **Please Comment** ☐ **Please Reply** ☐ **Please Recycle**

• **Comments:**

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Applicant Initiated Interview Request Form

Application No.: 10/066,780 First Named Applicant: Weisberg
Examiner: K. Bartley Art Unit: 3693 Status of Application: Pending

Tentative Participants:

(1) Examiner K. Bartley (2) Atty. Grady White
(3) _____ (4) _____RECEIVED
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AUG 23 2007Proposed Date of Interview: Aug. 23, 2007 Proposed Time: 4 (AM/PM)

Type of Interview Requested:

(1) ☒ Telephonic (2) ☐ Personal (3) ☐ Video ConferenceExhibit To Be Shown or Demonstrated: ☐ YES ☒ NO

If yes, provide brief description: _____

Issues To Be Discussed

Issues (Rej., Obj., etc)	Claims/ Fig. #s	Prior Art	Discussed	Agreed	Not Agreed
(1) <u>Obj.</u>	<u>23-25</u>	<u>N/A</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(2) <u>Rej. (5/12)</u>	<u>1-22</u>	<u>N/A</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(3) <u>Rej. (5/03)</u>	<u>1-30</u>	<u>yes</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(4) _____	_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☒ Continuation Sheet Attached

Brief Description of Arguments to be Presented:

An interview was conducted on the above-identified application on Aug. 23, 2007.

NOTE: This form should be completed by applicant and submitted to the examiner in advance of the interview (see MPEP § 713.01).

This application will not be delayed from issue because of applicant's failure to submit a written record of this interview. Therefore, applicant is advised to file a statement of the substance of this interview (37 CFR 1.133(b)) as soon as possible.

Grady L. White
Applicant/Applicant's Representative Signature_____
Examiner/SPE SignatureGrady Lee White
Typed/Printed Name of Applicant or Representative40,874
Registration Number, if applicable

This collection of information is required by 37 CFR 1.133. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

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August 22, 2007

CONTINUATION SHEET FOR FORM PTOL-413A

Prior Art to Be Discussed:

U.S. Patent No. 6,347,307 to Sandhu, et al.
 U.S. Patent No. 6,064,975 to Moon, et al.
 U.S. Publication No. 2002/0087447 A1 to McDonald et al.
 U.S. Publication No. 2001/0027438 A1 to Park

Brief Description of Arguments to Be Presented:

1. Paragraph 12 of the current O.A. states that claims 1-30 are unpatentable over Sandhu and Moon because Sandhu discloses a system "that enables users to automatically calendar key dates related to settlement." However, Applicant's Amendment A, filed on January 23, 2007, has already shown (and the Examiner has already agreed) that Sandhu does not teach generating a set of *standard* settlement dates. Indeed, on April 16, 2007, the Examiner allowed claims 23-30 over the combination of Sandhu and Moon, stating that "the examiner's prior art does not overcome the claims," and "Examiner agrees with applicant that Sandhu does not teach generation of a set of standard settlement dates." [See O.A., dated April 16, 2007, par. 12].

Therefore, applicant respectfully submits that patentability of all of the claims over the combination of Sandhu and Moon has already been established.

2. Paragraph 13 of the current O.A. states that claims 8-22 are unpatentable over the combination of McDonald and Park. However, neither McDonald nor Park disclose or teach generation of a set of *standard* settlement dates. McDonald discloses associating a particular "liquidation date" to an event-based investment (where the particular liquidation date is arbitrarily selected so as to occur sufficiently later than the event so that the markets may have time to react to the event). Park discloses calculating whether a particular settlement date for a stock transaction falls due. But neither reference covers or even relates to automatically generating a "set" of liquidation dates or settlement dates pertaining to a transaction, much less automatically generating and displaying on a calendar for use by a user a "standard" set of liquidation/settlement dates.

Accordingly, applicant respectfully submits that none of the cited references discloses all of the limitations of any claim still pending in this application.